

DWD Issuance 20-2008, Attachment 1, Section 1 CAP Temporary Assistance (TA) File Maintenance Policy

Description

The Career Assistance Program (CAP) service providers must maintain all required documentation in paper files for Temporary Assistance (TA) applicants and recipients to:

1. Meet federal and state file retention regulations.
2. Ensure accurate monitoring and auditing.
3. Provide the best customer service possible.

Paper File Creation

An applicant paper file is created when the TA applicant completes any or all parts of the Immediate Engagement (IE) process that requires signatures. (A paper file is not needed if the applicant calls to schedule an appointment; however, this information must be case noted in the Toolbox 2.0 record.)

For recipients who previously completed IE, if the recipient is served at the same CAP service provider for both recipient and applicant, the applicant and recipient information is merged in the paper file. For recipients who were not referred during IE, a paper file is created the first time the recipient completes any CAP paperwork if he/she comes to the office or calls.

For recipients who change locations, files do not have to be transferred unless the service provider currently serving that recipient needs documentation from the file (i.e. DV Screening). In this case, the CAP service provider requests the entire file and the other provider sends the new provider the file.

Paper File Requirements

Anyone who accesses a CAP paper file should be able to easily find and/or determine if all the required documentation is included. Following are the paper file requirements:

- ✓ Participant's full name in Toolbox 2.0 (not nicknames) and Departmental Client Number (DCN) clearly marked on file tab in the same manner on every file in that location (i.e. last name first, first name first, etc.)
- ✓ Documents separated from the applicant to the recipient phase in the file (if the same service provider).
- ✓ Documents sorted in chronological order.
- ✓ File stored in a secure location (due to the confidential nature of the information) that is easily accessible for serving customers (i.e. locked file cabinets, locked file room, etc.).

Required Paperwork in Files

CAP files must include, at a minimum, the following:

1. All forms with original participant and/or case manager signature, including but not limited to:
 - Signature pages from “CAP Assessment” form
 - “Complaint and Grievance” form
 - “Domestic Violence Screening” form
 - “Domestic Violence Assessment” form
 - “Customer Choice” form
 - Written recipient request to remove domestic violence indicator
 - Individual Employment Plans (IEP)
 - “AWEP/CWEP Worksite Agreement”
 - “AWEP/CWEP Participant Agreement”
 - “Community Service Participant Agreement”
2. Copies of all mailings not in Toolbox 2.0 (i.e. postcards, flyers, etc.)
3. Documentation of eligibility for temporary waivers (medical statements, SSI applications, etc.)
4. Documentation of Assessment tools (i.e. Work Keys, Choices, etc.)
5. Documentation required for work activities
6. Sensitive or confidential information necessary for case management but not appropriate for recording in Toolbox 2.0
7. Copies of information provided by FSD pertinent to the case

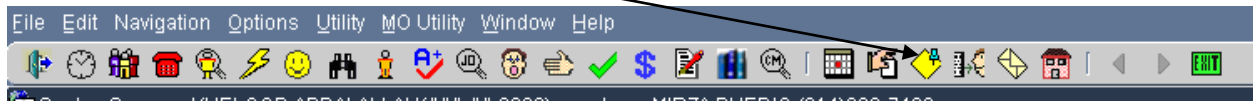
Retention Requirements

Retain CAP paper files for three years after the case goes inactive (which is indicated by the FSD closing on the ‘FSD Daily Load’ in Toolbox 2.0). If a case goes inactive and then becomes active again (another CAP applicant or recipient referral received), use the last closing date in Toolbox 2.0 to determine the three year period. After three years from the closing date, files may be destroyed.

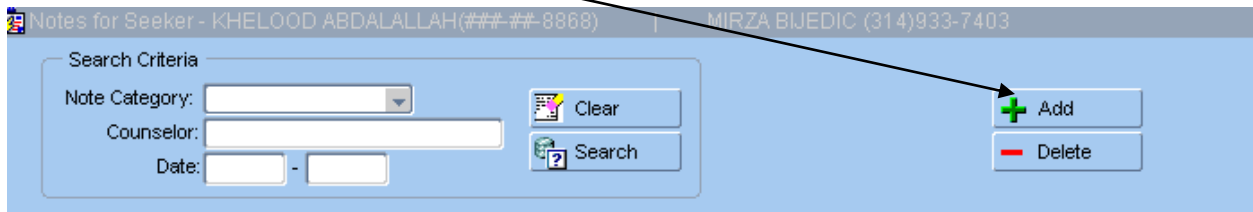
DWD Issuance 16-2008, Attachment 1, Section 2
Toolbox 2.0 Instructions

Entering Case Notes:

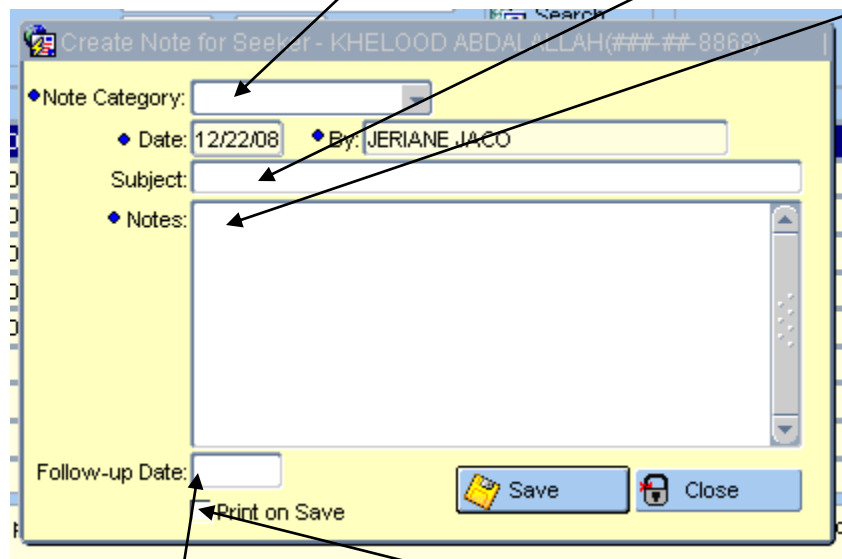
1. Click on the 'Notes' icon.



2. Click the 'Add' button.



3. Select the appropriate 'Note Category' drop down menu item, type the appropriate information in the 'Subject' field and enter 'Notes'.



5. Enter 'Follow-up Date' if appropriate.
6. If you want a hard copy for the record click to select the 'Print on Save'.

Viewing a Case Closure:

1. Click on the 'Seeker Service' icon and 'FSD Load Information' tab.

The screenshot shows the 'Seeker Service' application window. The title bar reads 'Seeker Histories - DANYELLE DESHAY D GLENN(###-##-6285) | ROBERT BOND (816)325-5890'. The menu bar includes 'File', 'Edit', 'Navigation', 'Options', 'Utility', 'MO Utility', and 'Window'. The toolbar contains various icons for navigation and actions. The main content area has a tabbed interface with 'Seeker Services', 'Change History', 'Notes', 'Payments', 'FSD Load Information', 'Exit Snapshot', and 'FSD TANF Participation'. The 'FSD Load Information' tab is active, displaying a table of loaded dates and a form for personal information.

Loaded Dt	Dcn	Ssn
02/26/2009	0034770091	438436285
12/30/2008	0034770091	438436285
12/08/2008	0034770091	438436285
11/26/2008	0034770091	438436285
10/28/2008	0034770091	438436285

Form fields:

- Name: GLENN DANYELLE DESHAY
- Address1: 10109 E GOLF AVE
- Address2:
- City: INDEPENDENCE
- State: MO Zip: 64053 Zip4: 1700
- Gender: F
- Dob: 07/07/1981
- Work Status: ZZ
- Referral Date: 11/25/2008
- Parent Type: 1
- Worker Name: JOHNNA SOLOMON

2. Closing will be indicated by a 'ZZ' in the Work Status.